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ABSTRACT

A handbook to assist newly appointed department heads at Colorado State University is presented. Topics include: the organization of the university, departmental organization, faculty personnel matters, staff personnel administration, fiscal operation, and research administration. The majority of departments operate under departmental codes outlining organization and operation. Specific responsibilities of the department head are identified: preparation and administration of the departmental budget; initiation of recommendations for appointments, dismissal, salary increases, advancement, and tenure of staff members; management of academic and financial matters within the department; and preparation of reports. The use of departmental committees and the selection process for the department head are addressed. The following faculty personnel matters are discussed: recruitment, appointments, reappointments, confidential interviews, promotions, tenure, resignations, and faculty fringe benefits. In addition, staff personnel administration is addressed in regard to: the personnel office, categories of employees, salary increases, hourly employees, creation of new positions, promotions, reclassification, work week, overtime, and extra payments. Fiscal operations include the following: sources of financial support, budgets, staffing patterns, salary policies and procedures, methods of salary payments, expense disbursements, capital equipment, and purchasing. Appended forms concern: academic faculty appointment, administrative and professional staff appointment, personnel action sheet, performance rating, advancement in rank, tenure, and budget change requests. (SW)

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HANDBOOK

for the

ADMINISTRATION OF ACADEMIC DEPARTMENTS

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
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Chapter I

Introduction

This handbook has been prepared to assist newly appointed department chairmen or heads to administer their departments efficiently and effectively. The emergence of numerous new academic departments, as well as the trend toward the rotation of departmental leadership, leads one to assume that there will continue to be an increasing number of department heads and chairmen with limited experience in academic administration. Also, experienced department heads may find this publication helpful as a handy reference and guide to be circulated to the faculty and staff of the department so that they may better understand the responsibilities, authority, and duties of the departmental leadership.

This material has been compiled and edited to provide suggestions on techniques and methods for the successful administration of a department, as well as describing current procedures employed by the University. No claim is made that the substance of the handbook is the plenary inspiration of the editor. To the contrary, the obvious fact should be stressed that many interested and informed members of the academic faculty and administrative staff contributed generously to the endeavor.

At the outset it should be clearly understood that the primary objective of the preparation and distribution of this guide is to improve academic administration at the department level. Nothing in this material is intended to diminish the organizational bond between the college dean and the departmental leader or to otherwise interfere with the established academic structure. Rather, it is assumed that the college dean, under the vice presidents, exercises executive responsibilities for the review of recommendations originating in the departments with respect to appointments, leaves of absence, salaries and other matters having a bearing upon the instructional program and research activities within the college.

The titles, department head and department chairman, are used interchangeably at Colorado State University. The University Code makes no differentiation between the two titles as to the selection of the departmental leader or in the duties and responsibilities of the offices. The faculties of the departments select the title which they prefer. In this handbook both titles are used rather than to run the risk of implying a preference which does not exist.

This handbook is intended to be utilized in conjunction with the Faculty-Staff Manual which sets forth the official policies and procedures of the University. Under no circumstances should one assume that material presented in this publication modifies or supersedes the policies of the faculty, President, or Board.

Chapter II

Organization of the University

Colleges and universities in America are complex organizations. Even the smallest of the single purpose undergraduate colleges must provide for a wide range of functions requiring an extensive and highly specialized staff. The larger and more complex the institution, the greater the number of functions to be performed. The sheer volume of operations requires the services of ever larger numbers of administrative specialists. Colorado State University is typical of large publicly supported institution which has recently come to be referred to as a "multiversity". Regrettably, this is not the type of university that "runs itself" as some European critics imply it should be. American institutions dealing as they do with younger people, committed to educating a larger cross-section of the population, and responding to the demand for more numerous services, have developed correspondingly complex organizational patterns. Some understanding of the organization of this University may be of value to the department chairman as he endeavors to identify his own role and that of his staff in the larger scheme of things at Colorado State University.

Colorado State University is one of 68 land-grant institutions located in the United States. From their beginning, these institutions emphasized education for all people. The objectives are four-fold; teaching, research, extension, and public service. The emphasis is on the usefulness and relevance of all learning to a better life and on the perpetuation of a democratic society. The land-grant universities have managed to encompass the heritage from the European universities while fostering new and unique developments of their own. Most notable of these has been their democratic commitment to the ideal of educating larger numbers, of bringing vocational education into the intellectual environment, and of serving the community, the Nation, and the entire world. In 1879, Colorado accepted provisions of the Morrill Act, passed by Congress during the Civil War. This act provided for grants of land to endow an institution of higher learning in each state. In many states in the South, two such institutions were established. The mission of the University is carried out through a number of branches or agencies not commonly associated with a single purpose college or university:

(1) The University itself, sometimes referred to in the narrow and only partially inclusive sense, as Resident Instruction, provides for the basic academic program and is conducted largely on campus.

(2) The Colorado Experimental Station, a major research agency of the University, supports research in most colleges. Historically, the emphasis has been in agricultural economics, agricultural engineering, animal science, botany and plant pathology, civil engineering, home economics, and veterinary medicine. The research activities are located at the main campus and at branch stations throughout the State.

(3) The Colorado Cooperative Extension Service provides the formally organized off-campus arm of the University throughout the State. The central administrative staff is located on campus and other personnel are located in most Colorado counties.

(4) The Colorado State Forest Service devotes its efforts to fire protection, insect and disease control, forest management, and tree distribution. Headquarters are on the campus and district foresters are located in key locations in the State.

In addition to these agencies, the Colorado State University Research Foundation is incorporated separately. CSURF is concerned mainly with the administration of patents, issuance of bonds, acquisition of real property, and related activities. A more detailed report on the activities of this organization follows later in the handbook.

The University offers academic instruction and conducts research through seven colleges. The colleges are Agriculture, Business, Engineering, Home Economics, Forestry and Natural Resources, Science and Arts, and Veterinary Medicine and Biomedical Sciences.

Faculty Government

Because of academic tradition, legal responsibility, certain authority delegated by the Board, and the essential nature of the task, faculty members have a large measure of responsibility for determining the educational policies affecting the faculty and students. The professional judgment of the faculty is essential in the development and implementation of the academic objectives of an institution. At Colorado State University the organization of the faculty for self-government and participation in the academic affairs of the University is typical of comparable institutions of higher education in America. The academic faculty, which includes certain administrative officers, plays an important role in development and the conduct of the educational program. Due to the size of the faculty a significant portion of its responsibilities have been delegated to the Faculty Council, often called the faculty senate at other colleges and universities. This is a representative body that meets monthly and performs the functions delegated to it by the Code. These functions deal largely with the academic aspects of the University and faculty government. All department heads and chairmen are members of the Faculty Council.

To facilitate the work of the Faculty Council and to spread tasks and responsibility among the largest practicable number of the faculty, a number of standing committees operate under authority delegated to them by the Council. The committees of the Faculty Council are:

Executive Committee
Committee on Undergraduate Admissions
Committee on Athletics
Calendar Committee
Commencement Committee
Scholarship Awards Committee
Committee on Undergraduate Work in Vocational Education
Graduate Council
Summer Session Advisory Council
Code Committee
Curriculum Committee
Library Council
Health Committee
Committee on Scholastic Standards
Committee on Student Life

The complete University Code is reproduced in the Faculty-Staff Manual

Administrative Organization

In 1877, the Colorado legislature created the State Board of Agriculture, composed of eight members appointed by the governor for 8-year terms. The President of the University is an ex officio member of the Board. The Board meets nearly every month, usually on campus. As the governing body of the University and Ft. Lewis College in Durango, the Board is responsible for selection of a president for the two institutions. The Board approves all administrative, staff, and faculty appointments. Also, the Board formulates the institutional budget and exercises general policy guidance over all the affairs of the University.

The administrative staff is headed by the President, who is the institution's chief executive officer, leader, and spokesman. In addition, there is an Executive Vice President, an Academic Vice President, a Vice President for Research, a Vice President for Finance, and a number of other administrative officers. Ordinarily, the department head along with the college dean will be involved most directly with the Academic Vice President and the Vice President for Research. (See table of academic organization on next page.)

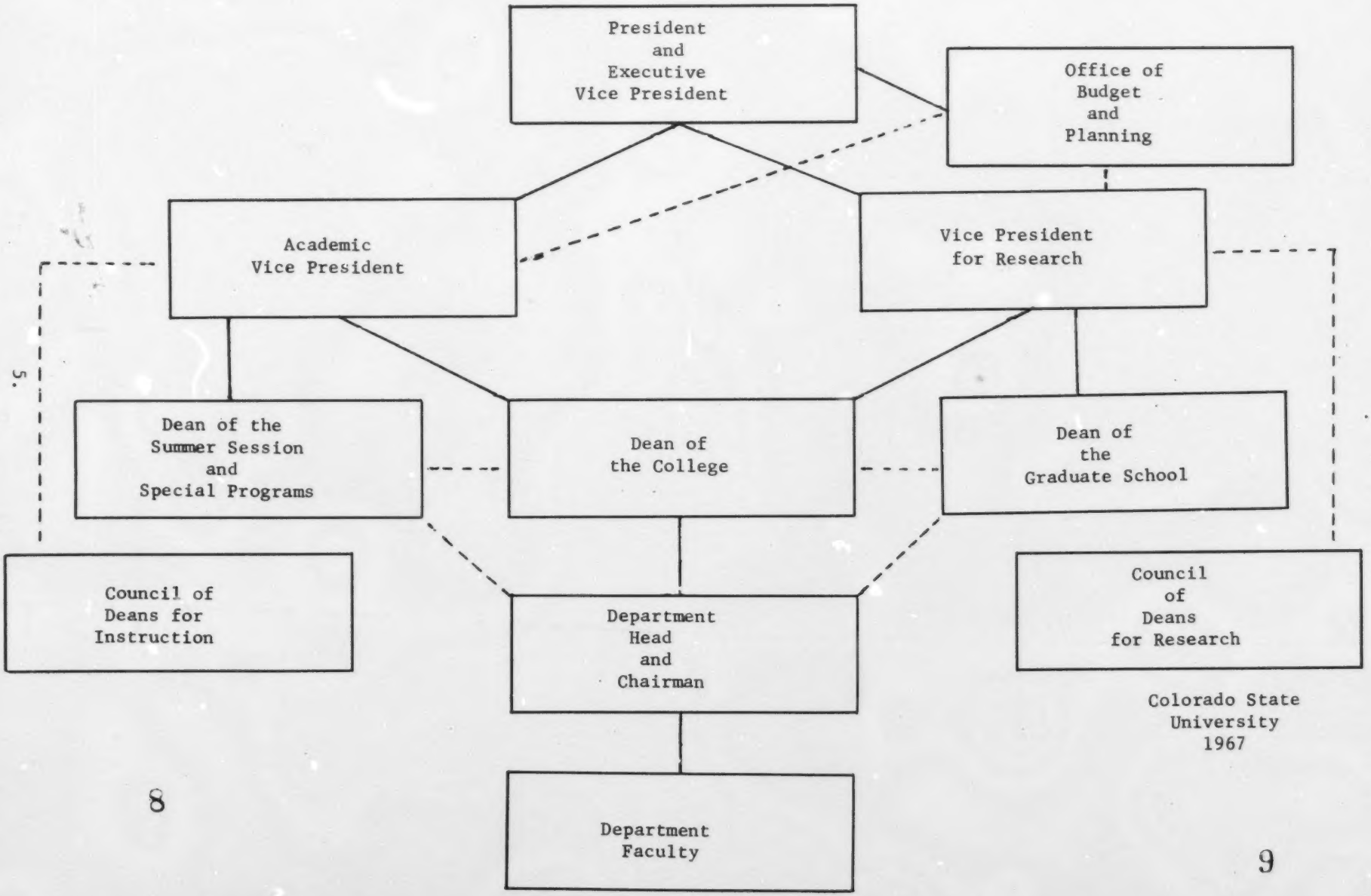
The Academic Vice President is the principal academic officer of the institution. The College Deans, the Dean of the Summer Session and Special Programs, the Director of Libraries, the Director of Admissions and Records, and the Coordinator for ROTC Affairs are responsible to him. He serves as chairman at meetings of the Executive Committee of the Faculty Council, the Faculty Council, the Curriculum Committee, and the Academic Faculty. To assist the Academic Vice President there is an advisory Council of Deans for Instruction which he chairs. This group is composed of the deans of the academic colleges. The Council meets on the call of the chairman as needed. The major duties and responsibilities of the Council are the following:

1. The Council studies problems concerning resident instruction conducted by the University and, when appropriate, recommend policies and procedures concerning these to the Office of the President and other appropriate entities of the University and its faculty.

2. The Council reviews recommendations concerning the granting of tenure and promotion in rank submitted by the various college deans, and recommend action on these recommendations to the Academic Vice President.

The Vice President for Research is the principal officer responsible for the coordination of the research of the University. This newly established position was created with administrative responsibility for the Experiment Station, the Research Foundation, and numerous other research activities. To assist the Vice President for Research there is an advisory Council of Deans for Research which he chairs. The membership consists of a representative from the office of each academic dean, the Dean of the Graduate School, and the Associate Director of the

ADMINISTRATIVE ORGANIZATION FOR INSTRUCTION AND RESEARCH


President and Executive Vice President
Office of Budget and Planning
Academic Vice President
Vice President for Research
Dean of the Summer Session and Special Programs
Dean of the College
Dean of the Graduate School
Council of Deans for Instruction
Department Head and Chairman
Council of Deans for Research
Department Faculty

Colorado State University
1967

Experiment Station.

The major duties of the Council are the following:

1. The Council will formulate and recommend policies and procedures for developing the total research program at the University.

2. The Council will assist in coordinating research activities with resident instruction and University services.

The two Councils are advisory and do not assume functions normally assigned to the Executive Committee of the Faculty Council.

The Director of Extension and University Services heads a new organization coordinate with the Vice Presidents. This office is responsible for the development and coordination of the University's overall extension programs. These are largely continuing or adult education programs and will involve academic departments as the need arises for the services of individual faculty members.

As far as the department head is concerned, the dean of a college is a key person in the organizational structure of the University. It is through his office, and that of the department chairmen, that the policies of the Governing Board and the faculty are implemented. Department chairmen and their staffs are responsible to the dean, who in turn report to the Vice Presidents for Academic Affairs and Research.

At the department level, as well as on the campus as a whole, any discussion of academic administration must begin with the faculty. The department chairmen must be aware that authority in academic circles rests largely upon the consent of the governed. Effective operation of the department cannot take place without the department chairmen receiving the wholehearted respect and cooperation of the faculty.

In turn the department chairmen must give the same type of support to the administrative officers to whom they are responsible. Too often administrators, in particular the President, Vice Presidents, and Deans, are referred to as if they were a group apart from the faculty. Department chairmen and the faculty in general, should realize that in most instances, this distinction is more imagined than real. Successful academic administration requires that the faculty through the departmental leaders work effectively with other administrators to carry out the desired program of teaching, research, extension, and public service.

Chapter III

Departmental Organization

The departmental administrator is the executive officer and leader of the department. It is his responsibility to direct and integrate the department's program of instruction and research. He must be informed concerning the abilities and accomplishments of his faculty with whom he must share his responsibilities and authority to the degree that it is feasible. The size and complexity of the department will determine to what degree he will be able to pursue his own academic interests in teaching and research during his term as department head.

Regardless of the size of the department and the internal organization decided upon by the faculty, the primary responsibility of a department head should be that of leadership. He or she should exert a significant influence upon budgeting, staffing, planning and direction of the instructional and research programs. Many knowledgeable people feel that the department chairman, who is still an active teacher and researcher, is the most important communication link in the whole chain of academic administration. To the degree that he is successful in interpreting the department to the administration, and on the other hand, in interpreting University policy to his faculty, the overall effort of the University will prosper. As several individuals have pointed out, a department chairman is truly the man in the middle but hopefully never a "middle man". In a large and complex university, such as Colorado State University, the chairman or head of a department has a very important role to play.

It behooves him, therefore, to learn all that he possibly can about the operation of the University. One of his first steps probably should be to familiarize himself with the University Code. He should specifically study the sections which relate to departmental organization and operation.

Departmental Codes

The revised University Code adopted by the academic faculty and approved by the Board in 1966 provides for a college to elect to have one college code or individual departmental codes. The majority of the departments operate under departmental codes; however, regardless of the type of code it must include the following essential parts:

1. Designation and definition of its administrative officer as head or chairman.

2. Any administrative organization within the department if desired.

3. Delineation of the departmental objectives.

4. Procedures relating to the review of candidates for new or vacated faculty positions.

5. Procedures relating to the review of recommendations for faculty members for acquiring tenure, for promotion in rank, and for reappointment.

6. Procedures relating to self-evaluation of departmental operations.

7. A minimum of one departmental faculty meeting each quarter of the academic year, with written notice given in advance by the head or chairman.

8. A review of the departmental code in the year prior to the end of each term of the department head or chairman.

All departmental and college codes must be consistent with the provisions of the University Code relating to departmental matters, and the University Code takes precedence in all instances.

Major aspects of the policies relating to the operation of departments as outlined in the Code are the following:

1. The duties of the department head or chairman are those specified in the Code of the University.

2. The manner of selection and appointment of department heads or chairmen is governed by the Code of the University. An interim appointment of an acting department head or chairman is recommended by the dean of the college to cover periods of absence or vacancy of at least three months.

3. The term of office for department head or chairman is five years. Department heads or chairmen may be appointed for more than one term, the limit on the number of terms to be determined by the University regulations concerning retirement. The term of a department head or chairman may be terminated for reasons of serious ineffectiveness in administering his office.

4. Evaluation of operations of a department must be conducted not later than the fourth year following the appointment of a head or chairman. Departmental operations shall include undergraduate and graduate teaching, research, and other programs according to the objectives of the department.

The Code requires that the evaluation of departmental operations must be a self-evaluation by eligible faculty members which may be reviewed subsequently by a committee of three members outside the department selected by the dean of the college who will serve on the committee as an ex officio member. The dean must transmit the report of the departmental self-evaluation and the report of the reviewing committee to the department head or chairman and to the Academic Vice President.

A department head should keep in mind that not later than October 15 of the fifth year of the term of office of a department head or chairman, the dean of the college will ascertain in writing whether the incumbent wishes to be considered for another term. The department head's wishes, together with the self-evaluation of the department's operation and any reports concerning the evaluation from a reviewing committee, must be used by the dean in giving instructions to a departmental advisory committee which shall proceed according to the University Code to advise the dean with respect to recommendations concerning the selection of a head or chairman.

The departmental faculty, the administrator of the department, the Academic Vice President, and the President must be notified in writing of the recommended action by December 15 of the fifth year of incumbency.

If members of a department faculty or the department head or chairman are acutely dissatisfied with the operations of the department, they may initiate a request for an interim evaluation of the department. If the request comes from the departmental faculty, at least one-half (but not less than three members) of those eligible must sign the request for an interim evaluation before it can be conducted. This request is to be submitted to the dean who will follow the procedure outlined for the regular evaluation after notifying the department head or chairman and the eligible faculty members of the request for interim evaluation.

Duties and Responsibilities

Specific responsibilities of the department chairman, as listed in the University Code are as follows:

1. Preparation of the department budget.

2. Administration of and adherence to the department budget.

3. Initiation of recommendations for appointments, dismissal, salary increases, advancement, and tenure of staff members.

4. Management of academic and financial matters within the department to promote student achievement, equity in travel and professional opportunities for staff members, and adjustment of faculty loads and salaries consistent with experience, competence, capacity, productivity, and aptitude of individual staff members.

5. Preparation of reports called for by administrative officers or agencies of the institution charged with coordinating the general program of the University.

The Code specifies additional responsibilities of the department head or chairman, together with the department staff as: development and strengthening of academic programs and faculty competence within the department; construction of sound curricula to meet educational needs of students; cooperation with and assistance to other departments in matters affecting the University in its educational and research program; effective staff recruitment; development and maintenance of department morale.

The Code indicates clearly that the department head or chairman should accept for himself a reasonable instructional responsibility at the undergraduate and/or graduate level. There seems to be some evidence that one of the most common mistakes that a new department head is apt to commit is to completely divorce himself from teaching and research. At the end of his term as department head he often finds himself out of contact with his discipline and ill-prepared to resume his role as a senior member of his department.

Selection of Department Heads

Formulating recommendations for appointment of department heads or chairmen is one of the most important responsibilities of the dean of a college. The Code specifies that the dean shall provide for the appointment of a departmental screening committee to advise him on the filling of a vacancy. The dean is further required to give the committee written instructions concerning procedure to be followed, minimum qualifications for the position, and to outline the specific responsibility of the advisory committee.

Although the dean is given wide latitude in the selection of the members of the screening committee and the procedures to be followed, there are several common practices that have developed. Usually the dean selects members from the senior tenured faculty of a given department rather than to ask the department faculty to serve as a committee of the whole. In addition, the deans have often asked one or more senior members of a related department to serve on the committee. The exact composition of the advisory committee and the procedures it follows to develop a list of candidates in most cases is dependent upon the situation that exists within the department and the college and is usually coordinated with the Academic Vice President.

From the candidates suggested by the advisory committee, the dean makes recommendations to the Vice Presidents and the President.

Use of Departmental Committees

As has been pointed out previously, the Code provides that a department may structure its internal administrative organization in any manner not in conflict with the Code. In fact, the Code encourages a certain amount of delegation of authority and responsibility to departmental faculty members. Even if such were not the case, common sense would dictate that a wise departmental leader would ask the staff to establish some formal committee structure to aid him in carrying out the duties and responsibilities assigned to him. There are several good reasons for this approach to departmental administration. First, there is the simple expediency of dividing the work among as many people as possible to lighten the load on the chairman; secondly, it is generally agreed that faculty morale is highest when the individual faculty member has an opportunity to participate in the formulation of policies or discussions which lead to decisions affecting their professional life; and last but certainly not least, the quality of most decisions rendered on difficult matters will be better when several minds are brought to bear on a given problem.

Many negative comments have been aired concerning faculty committees, their delaying tactics, their inability to arrive at a consensus, and the inevitable compromises which characterize many final decisions. Often this is true, but the new department head will find that although committee procedures are time consuming, when a course of action is agreed upon by the staff, he can feel assured that the policy he is carrying out is in the best interests of his faculty and has their understanding and support. This does not negate the possibility, however, that occasions will arise when

the chairman will act without benefit of faculty counsel.

Small departments may find that they can operate as a committee of the whole; however, this situation probably will not exist in most cases. The majority of departments seem to favor a departmental executive committee. It is usually small, consisting of from three to five members and chaired by the department head. The members usually are senior faculty members who represent the various specialties or interests of the department staff. The usual practice is to elect members for a term of three years and to stagger the terms so that there is some continuity from year to year. Larger and more complex departments may wish to establish additional committees to deal with various functions or responsibilities of the department. The development of a viable committee structure should make the transition from one chairman to another a smoother procedure.

Chapter IV

Faculty Personnel Matters

Earlier it was pointed out that the department head should realize that he is the man in the middle between his faculty and his dean. In carrying out his responsibilities a new chairman will find that both the faculty and the college dean can be his best sources of information and assistance. The dean exercises executive responsibility for the overall operation of his college with respect to recruitment, appointments, promotions, salaries, leaves, and a multitude of other matters. Because of his own experience and ultimate responsibility the dean stands ready to assist the new department head find workable solutions to problems. Problems that seem unique and insoluble to the inexperienced department chairman may be routine to the experienced dean. The development of a good working relationship between the college dean and the department head is the first step toward the successful operation of an academic department. In the discussion which follows concerning operational aspects, the departmental leader will wish to lean heavily upon his dean when questions arise.

Faculty Recruitment

The educational tone and quality of a University depend primarily on its faculty. This is certainly true also of its individual departments. The quality of the department ten years from now is determined largely by the appointments now being made. In other words, the recruitment of a competent faculty is one of the most important measures of the success or failure of a department chairman during his term in office. Unfortunately, this responsibility must be assumed at a time when faculty recruitment is often characterized as a situation of limited supply and rising demand. The increasingly cumulative deficit of college faculty members and recent doctorate graduates is becoming strikingly apparent throughout the Nation.

Since the departmental staff is involved in determining the department's objectives in regard to the instructional program, the faculty of a department and the chairman are given the primary responsibility for recruitment. Ordinarily the Vice Presidents and the college dean allocate positions to the departments after determining with the help of the department head the level of the appointment. The department chairman discusses this information with his staff and the process of soliciting recommendations and screening candidates begins. An experienced department chairman seldom should find himself without several good candidates in mind for permanent faculty positions. In a dynamic situation such as that in which the University is now involved, the job of recruitment is a continual one. Not only the chairman but all members of the staff should be alert to the possibility of securing outstanding new faculty members. A department that waits until it has a position to fill before it begins looking around for faculty members may have to take what is available. Such a department may have to live with its decisions a long time.

Faculty Appointments

The actual appointment of a faculty member to a departmental staff is initiated by the department chairman. Of course this action is taken only after all of the details have been agreed upon by the dean of the college and accepted by the prospective staff member. The "Academic Faculty Appointment Form" is completed in the department along with the "Personnel Action Form" and signed by both the department head and the prospective faculty member. This document is then forwarded to the dean and processed through channels to the Board. When the Board accepts the appointment, copies of the appointment form are distributed to all parties concerned. The appointee's copy gives him the assurance that he has a position with the University and the specific terms of the agreement.

In order for this procedure to operate smoothly, a department head must have a clear understanding of the various types of appointments for members of the faculty. There are basically three types of appointments:

Regular, Temporary, and Special.

Under approriate circumstances, any of the three types of appointment can be used for any rank, except that only temporary appointments can be given individuals in an affiliate position or a visiting faculty position. The following are the major characteristics of each type of appointment.

A. Regular --On regular appointments, with the exception of instructors, persons serving satisfactorily for a specified period (varying with rank as indicated below) may acquire tenure. Full-time appointments as professor, associate professor, and assistant professor or equivalents (e.g. assistant agronomist), may be of this type. Enrollment in the PERA program for individuals having a regular appointment is mandatory. Also, they are eligible for all fringe benefits.

B. Temporary--On temporary appointments, persons cannot acquire tenure. This type of appointment is used when one or more of the following is encountered:

   1. The individual to be employed is appointed for a specific period of time, at the end of which it is anticipated that the employment at the University will not be renewed for the forseeable future.

   2. The individual to be appointed is to occupy a position not included in the staffing pattern on a continuing basis.

   3. The individual is to be appointed for less than an academic year or for part-time employment throughout an academic year.

   4. The individual to be employed is more than 60 years of age.

   5. A member of an immediate family is to be employed in an administrative unit closely related to that which employs another

member of the family on a regular basis. (For details, see University policy in the Faculty-Staff Manual concerning employment of relatives.)

Individuals receiving a temporary appointment ordinarily are not enrolled in the PERA program. Under special conditions, it is possible for such persons to be covered by this program. However, individuals appointed for a second year on a temporary full-time basis are required by law to become members of the retirement system. They do not receive such fringe benefits as sick leave, sabbatical leave, and vacation.

C. Special--On special appointments, persons cannot acquire tenure and this type of appointment normally is given in the following situations:

1. The individual to be appointed will have responsibilities pertaining primarily to research in positions dependent upon the University's obtaining outside financial resources essential for continuance of the particular type of research involved.

2. The individual to be appointed will have responsibilities pertaining primarily to instruction (1) as a member of the staff of an overseas project, (2) as a replacement for someone assigned to an overseas project, or (3) as a member of the staff of any other instructional program dependent upon the University's obtaining outside financial resources essential for continuance of the instructional programs involved.

Individuals receiving special appointments normally enroll in the PERA program. Exceptions occasionally are granted when there is good and sufficient reason for the faculty member not to be covered by the retirement plan. In any event, individuals receiving a special appointment are eligible for all fringe benefits, but are not eligible for tenure or sabbatical leave.

Joint Positions

Faculty members employed by two departments are given what are commonly called joint appointments. This action should only be taken when the professional activities of the individual concerned normally fall, to an appreciable degree, within the purview of two departments. Personal preferences of the individual are not sufficient reasons to justify a joint appointment. In the case of a joint appointment, one department must accept administrative responsibility. Ordinarily this is the department utilizing the greater portion of the faculty members time.

Visiting Faculty Members

1. Individuals who are members of the academic faculty for a short period of time while on leave from another institution of higher education or private agency should be given a visiting appointment if salary arrangements are to be made, or an affiliate appointment if no salary arrangements are needed.

2. Visiting appointments may be made for the four professorial ranks. The criteria used to determine the level to be recommended are the same as those applied when determining the level of a regular member of the academic faculty. If, because of his education and experience, it is not possible to classify the individual concerned in one of these four categories, designations such as "Visiting Scientist", "Visiting Artist", "Visiting Author", etc., may be used.

3. A visiting appointment is always classified as a temporary assignment

Affiliate Faculty Members

It is possible to appoint as members of the faculty individuals who possess training and experience useful to the University's teaching and research program who are self-employed or employed on a full-time basis by an organization other than the University. These individuals receive an affiliate appointment to the faculty, and normally do not receive a stipend or fringe benefits from the University.

Also, an affiliate membership in the faculty can be given to a member of the University's administrative and professional staff if the qualifications of that individual for the duties and responsibilities in question are judged to be acceptable. The manner in which the salary for such a person is budgeted would not be changed because of the affiliate appointment.

Discretion should be used when recommending individuals to be affiliate members of the faculty. Such a recommendation should be made only when a reasonably strong and continuing relationship between the individual concerned and the department concerned can be established. The training and experience of the individual should be such as to support in a direct way the program of the department concerned, and the activities of the individual should be such that in time an appropriate measureable contribution to the achievement of the goals of the department will be realized. If, for any reason, an individual appointed to affiliate membership is unable to continue to contribute actively to the program of the department concerned, the affiliate membership in the faculty should be terminated at that time.

When recommending affiliate appointments, a department may wish (1) to classify its affiliate faculty members in a single category without levels or ranks, (2) to classify each affiliate faculty member according to a rank in the same manner as its regular faculty, or (3) to divide its appointments between the two classifications, doing so on the basis of the evaluation of the qualifications of each candidate. If no differentiation according to level or rank is to be made, then the title of the affiliate member is "Faculty Affiliate". If levels or ranks are to be identified, then each affiliate member will receive one of the following designations: Affiliate Professor, Affiliate Associate Professor, Affiliate Assistant Professor, or Affiliate Instructor.

Additional characteristics of an affiliate appointment are the following:

1. The initial affiliate appointment shall be for a period of one year, and subsequent appointments can be made for a term of as long as four years, if desired. Failure to re-appoint at the end of the period of time in question is considered to be equivalent to resignation from the affiliate position and, consequently, the name of the individual concerned is removed from the faculty roll.

2. A recommendation for affiliate appointment is processed in the same manner as a recommendation for a regular faculty appointment.

3. A formal resignation from an affiliate position is required when appropriate.

Emeritus Faculty Members

Under appropriate circumstances, emeritus appointments can be given to members of the academic faculty and members of the administrative and professional staff in Resident Instruction, the Experiment Station, the Extension Service, and the Colorado State Forest Service. Normally, such appointments are not given to other employees of the University.

1. To be eligible, the individual must be a regularly employed full-time member of the faculty who is retiring from the University at the age of 60 or older. If such an individual retires from the University prior to age 60 because of medical reasons, his eligibility for emeritus title will be evaluated in the light of the circumstances which exist.

2. Recommendations for emeritus appointment are initiated in the usual manner, and processed through the normal channels to the State Board of Agriculture.

3. Individuals who, upon retirement, hold both a professorial rank and an administrative title are eligible to receive both the emeritus title at that professorial rank and the emeritus administrative title at that level.

4. Individuals who, following retirement, are employed for limited service, shall receive an emeritus title following completion of such service.

5. Members of the faculty who are given emeritus rank retain their rights and privileges of membership in the faculty.

6. Emeritus appointments are not given individuals who hold only an affiliate faculty position.

Research Faculty Members

Faculty members who have primarily research duties and yet who contribute to the instructional program in a direct and continuing way should receive a professorial appointment at an appropriate level.

Ordinarily, the contribution to the instructional program by such a faculty member would be recognized in the budgetary arrangements for him.

In the case of research positions where a direct and continuing relationship with the instructional program does not exist, titles should be used which follow the pattern used by the Experiment Station, irrespective of the source of funds which support the research position in question. For example, in the case of Agronomy, the pattern of titles to be used is Junior Agronomist, Assistant Agronomist, Associate Agronomist, and Agronomist. Individuals appointed to research positions are members of the faculty and are eligible for tenure in the same manner as individuals holding the corresponding professorial ranks.

Should the duties of a faculty member change to the degree that his original title is inappropriate, a change of title should occur in order that the foregoing principles are observed.

In addition to the foregoing research titles, two others exist; namely, research associate and post-doctoral fellow.

Research Associate

The research associate title is equivalent to the junior level research title used in the Experiment Station and has the same rights and privileges but shall not acquire tenure. Research personnel of this type can be given the research associate title if desired. Should a research associate be supported to any degree by Experiment Station funds, the use of this title must be approved by the Director of the Experiment Station.

Post-Doctoral Fellow

A post-doctoral fellow is a research staff member appointed for a comparatively short period of time; for example, one or two years. Such individuals are usually supported by funds other than state funds, and work in the research program of a senior faculty member. Each is given a temporary or a special appointment, and shall not acquire tenure. As the title indicates, the individual to be appointed must have completed a doctoral program. In some cases he may possess a professional doctorate and be studying toward an academic doctorate.

Post-doctoral fellows are members of the professional staff but not members of the academic faculty.

Reappointments

The attention of department chairmen is directed to the statement of policy in the Faculty-Staff Manual concerning notification of continuation of employment to be given to each non-tenured faculty member in the department. The statement is as follows:

"All faculty members who are on regular appointments and who have not yet acquired tenure, all faculty members on special

appointments, and all instructors, shall be appointed on a yearly, contractual basis."

"If the department chairmen or head wishes to retain a person serving on a contractual basis, he shall so inform the staff member in writing, by March 15 at the latest, of his recommendation of contract renewal during the first two years of employment and by December 15, at the latest, in succeeding years."

The recommended procedure for administering this policy is simple. Either prior to December 15 or March 15 of each academic year, each department head is to hold his annual confidential interview with non-tenured faculty members in accordance with Section IV-A of the Faculty-Staff Manual. If it is determined that the faculty member wishes to be reappointed and the chairman wishes to recommend reappointment, the recommendation should be sent to the college dean along with the necessary copies of the confidential interview. The list of recommended faculty members should contain the individual member's name, his academic rank, and the basis of service (9 or 12). If the dean concurs, he will prepare a list of faculty members in his college to be recommended for reappointment.

The list of all faculty members whose reappointments are recommended will be compiled by the Academic Vice President. In turn, it will be forwarded to the Budget Office and Personnel Office for processing, and then sent to the Office of the President and the State Board of Agriculture for action.

Following Board action, the Secretary will notify the Director of Personnel, who will inform each faculty member of the nature of the Board's action. Notification of favorable action constitutes the reappointment of the faculty member for the following year. It is assumed that the faculty member agrees to the reappointment unless he notifies his department to the contrary.

After the salary announcement , on or about May 1, the department head may wish to visit again with non-tenured faculty members, should any doubt exist about their plans for the coming year.

Department heads should remember that this procedure applies to individuals holding regular and special appointments. Faculty members on temporary appointments will need new appointment contracts in the event that it is agreed to extend the individuals period of service.

Confidential Interviews

University policy requires that all faculty members who are on regular appointments and who have not yet acquired tenure be interviewed, at least once annually, by the department head.

It is the joint responsibility of the faculty member and the department head to discuss the faculty member's development and fitness for the position involved and prospects of his eventually acquiring tenure. The department head must provide the faculty member and the college dean with a written summary of the interview at the time that reappointments are recommended.

A wise department chairman will make full use of this opportunity to apprise the new staff member of his strengths and weaknesses. He should take care that the written summary accurately reflects his attitudes and opinions concerning the performance of the faculty member since merit salary increases, advancement in rank, and tenure will ultimately be related to these reports.

Although not required by policy, it seems logical that the department head would have at least one formal evaluation conference annually with faculty members holding tenure. A written summary for the official record of such a conference could prove valuable at a later date. In addition, the conference would provide an opportunity for an exchange of ideas that could benefit both parties and the department.

Faculty Promotions

Once a member of the academic staff has received an appointment, the department assumes a large measure of the responsibility for evaluating his work and recommending him for promotion in rank. A faculty member's professional advancement depends largely upon the appraisal of his work by his peers, especially the department chairman.

In judging the appropriateness of a recommendation in the case of an individual faculty member, the new department head should familiarize himself with the general statement of University policy concerning promotions. It is as follows:

> "Establishing definite rules for judging success in teaching and creative work is difficult, and perhaps no set rules can be entirely satisfactory. Academic degrees give some information, though inadequate, regarding the faculty member's mastery of his subject. Perhaps the most valuable information regarding his preparation, teaching ability, creative work, industry, and integrated effectiveness in his field is to be obtained from his colleagues in his own and related subjects, particularly if proper allowance is made for human relations involved. Publications and similar works constitute objective evidence to be evaluated on the basis of quality. Under certain circumstances, opinions of students and alumni, associates in other fields, and workers in his own field at other institutions, may be of consequence in evaluating a faculty member's ability and achievements. In considering the individual for promotion, evidence of capacity for future usefulness is of prime importance.
>
> Teaching and research (or creative work which is the counterpart of research in special fields) are equally important in a first-class university. While the more obvious duty and concern of the faculty is to impart knowledge, it is also necessary that they contribute to advancement of knowledge if the University is to be worthy of its name. Thus, outstanding accomplishments either in teaching or in research (or creative work) should receive comparable recognition, and reasonably worthy accomplishments in both are to be considered requisite for the higher ranks providing the teaching load allows time for research. As a general

practice, an individual should not be appointed or promoted to associate professor unless it appears that he is likely eventually to qualify for the rank of professor.

In addition to work in his own field, other contributions to the work and welfare of the University may merit recognition in connection with promotion. Such contributions are commonly in the nature of administrative activities, work on committees, and other activities familiar to the faculty. Services to the community, the State and the Nation, otherwise than through regular University duties, may also deserve recognition.

While length of service is significant, this is secondary, and promotion is contingent upon a satisfactory record according to the preceding criteria."

To help clarify the general policy an outline or summary of the criteria has been developed:

1. Teaching effectiveness at the undergraduate and graduate levels.

2. Proficiency and record as an advisor to undergraduate and graduate students.

3. Quality and amount of research, creative work, and general scholarship.

4. Scholarly significance of publications and other work products.

5. Nature and amount of other professional activities.
(e.g., participation in professional meetings; professional consulting; completion of educational programs or "refresher" work of high quality; etc.)

6. Amount and quality of service to the University.
(e.g., membership in departmental, college, and university committees; assistance in the professional development of junior faculty members;etc.)

7. Length of service at the University, and other organizations for which similar duties were performed.

In addition to adhering to the criteria for promotion, a few other points should be remembered by the department head to avoid any misunderstandings:

1. Recommendations for advancement in rank should not be made for faculty members who are on leave, irrespective of whether it is special leave or sabbatical leave.

2. Special attention should be given those individuals who are considered worthy of advancement in rank when the primary evidence in support of this opinion is the completion of a graduate program, for example, a doctoral program. In these instances, the graduate program should be completed in all respects. In other words, the degree should be conferred prior to the evaluation of the case by the appropriate offices.

3. As a general rule, faculty members being considered for promotion should not be notified of that fact.

The mechanics of promoting faculty members is relatively simple. Recommendations for promotion originate in the department early in the academic year. The work must be completed well in advance of the preparation of the staffing pattern and the annual budget. The deliberations that precede the actual recommendations usually take place during the latter part of the fall quarter. The department files the recommendations on special forms provided for this purpose. These forms are forwarded to the college dean who usually wishes to go over them in detail with the department head. In January, the college dean presents his final recommendations to the Academic Vice President. The Academic Vice President compiles all the recommendations into one list and submits it to the Council of Deans. The names are sent to the Office of the President and to the State Board of Agriculture.

Tenure

Academic tenure is generally considered to be the right of a faculty member, after the expiration of a probationary period, to permanent or continuous employment with a college or university. Tenure is intended to insure that a faculty member will have freedom of teaching and research and a reasonable degree of economic security. Most colleges and universities subscribe in general to the 1940 Statement of Principles concerning academic freedom and tenure recommended by the American Association of University Professors. Colorado State University is no exception. The Faculty Appointment and Tenure Policy of the University specifies that tenure means the right to employment without reduction in salary or in rank, providing that the faculty member maintains the physical and mental capacity for full service. It is further pointed out that tenure involves responsibilities as well as rights. Such responsibilities include the obligation of a faculty member (1) to treat his position as public trust, not to be abused to promote his private interests, and (2) to maintain the quality and quantity of service reasonably expected in the assignment for which he holds tenure.

As in the case of appointments and promotions, tenure recommendations begin with the evaluation of the faculty member by the chairman and department faculty. Nearly every year the department will be faced with the decision as to whether or not one or more staff members should be recommended for tenure. Just as care should be taken in recruiting and promoting faculty members, even greater care should be given to evaluating a faculty member for tenure. Any serious doubts or reservations with regard to the desirability of recommending tenure for a faculty member should be investigated carefully and, if not dispelled, should result in a negative recommendation.

Department chairmen should keep in mind that only faculty members holding "regular" appointments may be considered for tenure. Questions are often asked about the appropriateness of recommending that time spent in a "temporary" or "special" appointment be considered as a part of the probationary period. In some cases this might be a

desirable recommendation; however, in many cases it is not. Department heads should use caution in recommending that time spent in another type of appointment be used as a part of the probationary period unless the faculty member in question is unusually well qualified. Probably a visit with the dean would be appropriate before any final recommendation is made in this regard.

The tenure policy is set forth in detail in the Faculty-Staff Manual. Sections IV and V deal directly with acquisition of tenure. Briefly outlined the provisions are as follows:

(1) Instructors do not acquire tenure while remaining in this rank.

(2) Associate and assistant professors must be notified in writing by the Academic Vice President prior to December 15 of the fourth year of service that they are being recommended for tenure or denial of tenure is to be recommended.

(3) Professors must be notified of this decision by December 15 of the third year of service.

For all practical purposes a department has two years for professors and three years in the case of assistant and associate professors to determine whether or not an individual should be recommended for tenure.

The college dean informs each department chairman early in the academic year as to whom on the staff is to be considered for tenure and provides special forms for the recommendations. Usually the deadline for completion of this assignment is around the first of November.

A department chairman can prevent unpleasant situations arising from the denial of tenure by exercising courage in the conduct of the "confidential interviews" each year and the annual reappointments while a faculty member is on probation. Even under the best of circumstances, a situation may arise occasionally where a faculty member, denied tenure, wishes to appeal the decision. Every faculty member has this right and he should be advised by the chairman to conduct his appeal in accordance with Section VIII of the tenure policy. At this point, the matter is out of the hands of the department and becomes the concern of the college dean and the Academic Vice President. Simply because a departmental recommendation might be appealed should not deter a department chairman from carrying out his responsibilities to the department and the University.

Resignations

Staff members resigning from the University, whether during or at the end of a contract year, should submit a written resignation with the exact effective date. In consideration of the welfare of students and the department a condition of employment is that academic faculty members shall not voluntarily terminate their services other

than at the end of a quarter. The chairman will want to expedite all resignations quickly so that embarrassing over-payments will not occur. In addition, the chairman will need to check carefully with the individual resigning to determine that there is agreement on the date that pay is to terminate, including all vacation, if this is applicable. Special forms and procedures are used for non-faculty civil service personnel and the chairman will want to discuss this matter with the Personnel Office when a resignation occurs.

Faculty Fringe Benefits

Fringe benefit programs are numerous and represent an important aspect of faculty personnel administration. While a chairman cannot hope to be an authority on these often complex programs, a general understanding of the major benefits may be essential to him in the recruitment and retention of faculty members. In this area, the Personnel Office can be of great assistance in providing printed information and detailed explanations of the programs of the University.

Pleasant working conditions and reasonable salary are possibly the two most important faculty benefits. Certainly to these could be added library facilities, equipment, secretarial or laboratory assistance and reasonable work load. But, in addition, today's faculty members are most cognizant of the value of programs aimed at their economic well-being and security. Retirement provisions, various types of insurance, sick leave, vacations, leave policies, etc., are of major importance in this regard.

In interviewing prospective faculty members, it is important to know that there is often considerable difference between fringe benefits provided by a private college or university and those of public supported institutions. In some instances, private schools are limited in the amount of money available for salaries and direct cost benefit programs. They may compensate by granting such benefits as tuition waivers for a faculty member and his family, mortgage loans, employment for more than one member of a family, low cost rental housing, discount purchases, and other miscellaneous privileges. Public supported colleges usually are limited by statue from providing many of these benefits and, as a result provide more costly retirement programs, insurance plans, liberal sabbatical leave policies, generous sick leave, and overall a higher level of support to the individual faculty member.

The programs at this University can be characterized as rather typical of those of a large public institution. Certainly they are not the best in the nation; but taken in aggregate, they are better than those of most comparable institutions.

Basically the faculty benefit programs are the following:

Retirement and survivors benefits
Hospitalization - medical insurance
Survivors insurance
Salary indemnification

Sick leave
Workmen's compensation
Travel insurance
Sabbatical leaves
Study privileges
Tax sheltered annuities
Liability insurance

Detailed descriptions and the policies governing these programs are in the Faculty-Staff Manual. In addition, the Director of Personnel and his staff are available to provide up-to-date information and in-depth discussions of the fringe benefit programs of the University.

In conclusion, it might be appropriate to emphasize that the chief purpose of a faculty benefit program is to improve the academic environment of an institution so as to favorably affect the recruitment and retention of faculty members. Thus, the choice of benefits depends on how directly and to what extent these benefits affect the work and spirit of the faculty and the attractiveness of the institution. In the final analysis, the pattern of fringe benefits depends on their cost in university resources and the alternate uses of these resources.

Chapter V

Staff Personnel Administration

Each academic department has one or more non-faculty employees on the staff. These individuals customarily hold clerical or technicans positions and are governed by the rules and regulations of the Colorado State Civil Service System as well as those of the University. The rather complex and often restrictive system of the State of Colorado under which the University must administer this group of employees can prove to be a problem for a department head. Since he must accept the supervision of the non-faculty employees in his department, this responsibility can become a source of concern as well as consume an inordinate amount of his time and energy. Probably the best advice that can be given to a new department head is to rely heavily upon the services and experience of the Director of Personnel and his staff. Their job is to assist the department head to work out mutually satisfactory solutions to personnel problems, but it should be emphasized that the University must abide by the statutes.

Personnel Office

The Personnel Office has been delegated the overall responsibility for the non-faculty civil service group of employees. Specific responsibilities that relate to the academic departments are:

(1) Giving advice and counsel to supervisors who employ non-faculty people concerning a wide variety of problems that arise out of the employment situation.

(2) Maintenance of personnel records for all employees.

(3) Recruitment, screening, and referral of non-faculty employees to vacant positions.

(4) Performance of "personnel processing" of all employees when they are employed and when they leave the University.

(5) Administration of the State Civil Service Program and Workman's Compensation.

(6) Preparation of wage and salary information on non-faculty positions.

(7) Administration of the various fringe benefit programs.

(8) Maintenance of sick leave and vacation records with the help of the departments.

Categories of Employees

Employees at Colorado State University are classified as either academic faculty, administrative or professional staff and civil service. The first two groups are appointed by the Board upon recommendation of

appropriate University officials. They have the same benefits and are governed by University regulations. The civil service group are appointed by the Personnel Director and reported to the President and the Board. They are governed by civil service rules and regulations and certain necessary University policies.

A list of currently used position titles and position codes for civil service employees appears in the Job Classification and Pay Plan. In making appointments, the proper title and position code should be included on the appointment forms. For civil service personnel, the grade should always be included. These employees should be started at the first step of their grade unless an in-grade rate has been approved. Questions regarding classification of new positions should be referred to the Director of Personnel for recommendation. Position titles are official titles which are used on payrolls, budget documents, and other official records and publications. Departments may wish to use functional or working titles for other purposes.

Graduate teaching and research assistants are not classified as employees. Primarily they are students and as such are appointed and processed by the Dean of the Graduate School.

Salary Increases

Ordinarily salary increases for civil service employees are made on the basis of the date that an individual originally began his service with the University as a civil service employee. However, for employees below grade 16, the first raise is granted at the end of six months of satisfactory service. For these individuals, this becomes their anniversary date. Each year on the anniversary date of the individual's employment, he receives a salary increase of approximately 5 percent if his appraisal has been "satisfactory" or better since his last anniversary increase.

Hourly Employees

Hourly wage employees are usually those employed in a job where the work is of short duration or intermittent in nature. These employees are paid by labor payroll and cleared directly by the department head to the payroll section. Temporary employees do not receive fringe benefits such as retirement, vacation, sick leave and holidays, but, are covered under Workmen's Compensation.

Temporary FULL TIME employees may be paid a monthly rate or an hourly equivalent to the minimum monthly salary for that class of employee. This type employee may not work more than six months without a standard appointment.

Temporary PART TIME employees are ordinarily paid at a starting salary approximately 10 percent less than the listed minimum monthly salary for the job classification. An hourly salary table has been provided in the Job Classification and Pay Plan for the various classifications including students. Upon completion of each succeeding year in the same department, the hourly rate may be raised to the next step

as shown in the hourly salary table. This schedule is provided to establish uniform rates to be paid for work done on an hourly basis.

Creation of New Positions

To create a civil service position the following steps should be taken:

1. Be certain that there is a provision in the budget for the position, or approved funding which changes the budget has developed.

2. Fill out a PC-8 form for the Personnel Office. (This form describes the job responsibilities for classification.)

3. Check with the Personnel Office to find out who is first on the eligible list. (Do NOT hire a person for the job without clearance from Personnel.)

4. Call Personnel for an interview with the person on the eligible list.

5. Submit non-faculty appointment forms.

Appraisal of Employee Performance

Civil service employees' performance must be reviewed regularly. Forms are provided by the Personnel Office for this activity. A department chairman should keep in mind that performance is reviewed:

1. The month prior to the anniversary date.

2. If performance is considered satisfactory or better, once per year, after Step 1, is sufficient.

3. If performance is unsatisfactory, or near unsatisfactory, rating sheets should be turned in monthly. This action is very important if the possibility of discharging the employee is apparent.

Promotions

The University wishes to provide an opportunity for a well qualified loyal employee to advance professionally by promotion or transfer. Although employees will not be encouraged or allowed to move from job to job indiscriminately, employees who are interested and qualified will be considered for reclassification and promotion. This will keep the University from committing the costly error of over-classifying a job in order to raise an employee's salary and to keep him in the same job in the same department.

Reclassifications

In some cases jobs will have to be studied and reclassified in order to maintain a fair and equitable salary schedule. Ordinarily,

this will be done during the fiscal year and completed by April 1 so that changes may be incorporated into the new budget. The procedure is for the supervisor involved to request the Director of Personnel to reclassify the positon. A conference will be held with all parties involved and the job will be reclassified if there is sufficient evidence presented to warrant such a decision and funds are available.

Work Week

The State Board of Agriculture has established a 40-hours work week (Monday through Friday, 8 a.m. to 12 noon and 1 p.m. to 5 p.m., each day) for all stenographic and clerical employees and for other civil service campus workers. In certain positions, unusual time demands are associated with the job and are accepted with initial employment as a normal working schedule. The Fair Labor Standards Act has complicated this problem a great deal; therefore, care should be taken to clear these matters with the Director of Personnel.

Overtime

In special instances overtime may be required and justified to provide for emergency needs and meet unusual situations. To meet this problem, the Board has authorized payment of time and one-half for overtime. This policy applies to civil service personnel only, and, in each instance of its application, is subject to approval by the Director of Personnel in advance of payment. Compensatory time may be given for work performed in excess of the normal 40-hour work week at the rate of time and one-half.

Extra Payments

Only by special provision by the Board may money be paid to any employee in excess of his budgeted salary. Administrators should carefully avoid hiring any full-time employee for service in addition to his regular duties.

It should be stressed that the non-faculty staff of the department is employed for the sole purpose of facilitating the work of the faculty who are engaged in teaching and research. Faculty and staff are partners in the achieving of common goals. The wise chairman should strive constantly to stress the mutuality of interests and identity of goals which characterize both faculty and staff activity in a healthy, happy and on-going department. Their efforts must complement, not oppose each other. Since no departmental budget is so affluent as to permit indulgence in the wastefulness of dissension, the chairman's attention to the development of an attitude of mutual respect is essential.

Chapter VI

Fiscal Management

Each department head or chairman should have some knowledge of the overall fiscal operation of the University. This knowledge will help him place the fiscal management of his department in perspective. In addition, he will need to become familiar with certain fiscal procedures in order to assume the fiscal responsibilities delegated to the chairmen.

Sources of Fiscal Support

The University derives its income from many sources, State appropriations, student tuition and fees, numerous Federal agencies and quasi-Federal agencies, local governments, foundations, private companies, churches, and individual citizens. Every dollar provided to the University comes with one or more attendant restrictions. The University is obliged to expend these monies in that manner which will achieve its own goals and objectives and those of its supporters as well. This multitude of income sources for the operation of a university, with accompanying restrictions, requires a funds-accounting system. This provides a method of accounting for transactions in a segregated manner with respect to these restrictions.

Although most programs of the University are carried on by utilizing funds provided from outside sources, other funds are acquired each year as a result of sales and services by departments and enterprises. These funds come from such sources as the sales of livestock, livestock products, and crops grown in the conduct of research projects. These sales provide some of the operational funds necessary to carry on the instruction and research activities of the University.

A similar situation exists in the case of some organized activities connected with instructional departments such as the dairy plant, the hearing and speech clinic, the veterinary hospital, and the animal reproduction farm. These activities are conducted primarily for the purpose of providing professional experiences for students. Their earnings are incidental to the educational function, but may serve to reduce the cost of instruction. Certain other operations, which are called auxiliary enterprises and activities are conducted primarily to serve students. These include the residence halls, student center, student health service, inter-college athletics, and student bookstore. Their budgeting reflects the extent that income is necessary for operation, debt service, and equipment replacement. These operations are intended to be self-supporting and no appropriations are made by the State legislature for their construction or operation.

The University operates a number of service departments such as the University printing service, the audio-visual service, motor pool and service station, and the physical plant maintenance and repair service. These units provide goods and services at cost to the departments on the campus. Since the monies to purchase these goods and services are already placed in departmental budgets, the service departments are operated through a revolving fund from which costs are billed to the various departmental budgets.

The Budget

A budget is a plan; a devise for translating the programs of a university into financial terms. Plans for continuing programs, new programs, new policies--all must be translated into dollars. A careful translation of plans into fiscal terms assures that the sum of the cost of the programs of the University will be limited to the fiscal resources available. Often the academician finds the problem of translating plans into fiscal terms a new experience, if not exasperating. The responsibility for this task falls to the department head and is difficult to share with the staff.

The department chairman, who from time to time, asks his faculty for a statement of their needs for staff, equipment, space and the like, should not be surprised to receive requests which vastly exceed any possibility of financing. Faculty should be given an opportunity to describe their needs and aspirations at regular intervals. However, to place these requests within the framework of the dollars available, the department chairman, in conjunction with his dean, is obliged to establish budget guidelines and groundrules that recognize both the insatible demand for the resources and the reality of limited resources. For example, it falls upon the department head to recognize the relationship between his plans for an expanded curriculum and the larger budget necessary to support this effort. To undertake new projects without the possibility that they can be supported at an adequate level is to invite mediocrity or even failure.

After a departmental budget has been approved the department head truly becomes the budget officer for his organization unit. As such, he is responsible for the management of his budget and the planning of expenditures. He is responsible for restricting his expenditures to the limits set out in the budget. When a situation arises which clearly reveals that a budget is inadequate, a report of the situation, together with a plan for its solution, should be prepared by the department head and placed before the dean. It has been observed that the department head who finds himself in a constant budget crisis may be revealing something other than the existence of an inadequate budget.

Staffing Patterns

Teaching and research are essentially personalized services. Since this is the case, the salary or personal services budget comprises the major portion of the department budget. It includes all faculty and support staff--e.g., clerical, technicians, graduate assistants.

In a land-grant university the multiplicity of sources of support for the instruction, research, extension, and service activities of a department requires that the department chairman estimate that portion of each staff member's time which will be devoted to instruction, research, administration, etc. This exercise places the department chairman into the role of establishing a work load for his faculty. The concept of a teaching load implies faculty utilization which assumes that the functions of teaching and research can be placed in a context of days, hours, weeks or months. Although faculty members may find the concept objectionable, the department chairman must concern

himself with and plan for the effective use of faculty talent and time. Some faculty may define academic freedom to include the opportunity to work as much or as little as they wish and to serve as many functions as they desire. The department chairman should serve as the counter balance. He must temper this idealism with budgetary realism and accounting requirements of the Federal and State government. He will find support for his effort from those staff members who recognize that minimum activity on the part of some represents a drain on the financial resources of the department and, more directly, an overload for other staff members.

During the spring quarter each department head is required to submit a proposed staffing pattern or work program for his staff, faculty, clerical and technical staff and graduate assistants. The staffing pattern should include the present staff, the vacant positions created by retirements and resignations and new positions approved by the dean and academic vice president. From the staffing pattern, the University budget office can compute the estimated cost of the department's program and the cost of total programs can be related to the total fiscal resources available.

Salary Policies and Procedures

Sound administration of salaries is vital to the successful operation of a department. The administration of salaries includes the selection of new faculty with appropriate beginning salary, as well as providing merit increases in existing salaries. To the degree that it is possible, salary administration also must recognize changes in the cost of living and competition from other institutions.

During the spring quarter of each year, a department head is asked for his recommendations for faculty salary increases for the next fiscal period. At this time, University guidelines and objectives with respect to salaries, will be transmitted to the deans and department heads for the purpose of making the over all University salary schedule as competitive nationally as possible. These guidelines ordinarily are general and reflect the level of support anticipated from all sources. The major objective is to confine the total cost of the salary recommendations to a specific total amount of money. There is no fixed and rigid salary schedule at this University. Within each academic rank a wide salary range exists and there is a sizable overlapping among the salary ranges for the different ranks. Sound administration requires that salary increases be awarded discriminately; merit is the keystone. Salary increase recommendations are reviewed by the appropriate dean and the Vice Presidents. Discussions with the dean relative to specific cases may be helpful and prevent future misunderstanding.

Salary increases for clerical and technical staff are established by the Civil Service Commission of the State of Colorado and are not subject to recommendation or review by the University. In fact, this is so routinized that the specific dollar amounts for the non-faculty group will be placed on the staffing pattern by the Personnel Office. Only in cases where the department chairman wishes to request that a

positon be reclassified, will it be necessary for the chairman to become involved in non-faculty salary administration.

Methods of Salary Payments

The vast majority of faculty members are employed on either nine or twelve-month appointments. In the case of a twelve-month faculty member the method of paying salary is rather simple. The individual receives 1/12 of the annual salary on the last working day of each month. The method of salary payment for nine-month faculty members, however, is a little more complicated. These individuals are employed for the period September 10 to June 10 of each year. A faculty member in this category receives 1/9 of his salary on the last working day of each month, with the exceptions of September and June. In September a nine-month faculty member receives 2/3 of 1/9 of his salary and in June he receives 1/3 of 1/9 of his salary. There are a few faculty members on ten-month appointments and these individuals receive 1/10 of the annual salary on the last working day of each month except for the months of July and August.

In cases where faculty members cannot keep their contractual commitments to the University, prudent administrative procedure which would stand the scrutiny of State and Federal audit, dictates that employees be paid only for work actually performed. The problem revolves around employees, usually faculty members, who do not arrive at the beginning of a quarter or feel compelled to leave before the end.

Faculty members on twelve-month appointments are relatively easy to handle. A fiscal rule of the State of Colorado requires that these individuals be paid on the basis of the number of week days in the month.

Faculty members on nine-month appointments present a different problem. If the individual does not complete the academic year, the University pays him on the basis of 1/3 of nine-months salary for each quarter completed. When a faculty member works only a portion of a quarter, his salary is reduced accordingly. If the fall quarter is considered to be twelve (12) weeks, the winter and spring quarters as eleven (11) weeks, and the summer ten (10) weeks, the University pays for actual weeks worked. For example, if a individual scheduled for a winter quarter arrival, actually arrives three weeks late, he is paid 8/11 of 1/3 of his nine-month salary.

Another policy concerning the payment of salary to a faculty member is often misunderstood and leads to problems for the department head. This involves faculty members who are employed for less than a full academic year. Those working for one or two quarters of the academic year receive 1/3 or 2/3 of the annual rate regardless of the exact dates of the academic quarter in question. Also, individuals who hold appointments for the academic year but resign after fulfilling their responsibilities for only one or two quarters receive 1/3 of 2/3 of the annual rate regardless of the exact dates of the academic quarter or quarters involved or the effective date of the resignation.

The method of computing and paying salaries for those nine-month faculty members receiving summer appointments is more complicated than during the regular year. A nine-month faculty member who is employed full time in either teaching or research during the summer may receive up to 2½ ninths of his previous academic year salary. This amount is divided into two equal portions and one paid at the end of the five-week term, usually shortly after the middle of July. The second payment is made at the end of the ten-week summer session, usually in the latter part of August. Under no circumstances may a faculty member receive more than 2½ ninths of his previous academic year salary, but he may be employed for fractions thereof and paid accordingly.

Expense Budget

The term expense budget refers to that portion of the budget appropriated for routine operating expenses of the department. A partial list of these expenses might include:

Hourly wages for part-time employees
Instructional supplies
Long distance telephone charges
Travel
Laboratory supplies
Laundry
Maintenance of office machines
Small expendable equipment (less than $100 per item)
Postage and freight charges
Printing
Feed for small animals and livestock
Veterinary supplies

No "line item" restrictions are placed on the department in the management of the expense budget; that is, no specific amounts are alloted to such items as travel or to hourly wages. The control is on the total amount of the expense budget.

The department chairman will find that there are a number of methods by which he can handle his expense budget. For example, he can ration the amount available to each of the staff, in which case he may want to hold some part of the budget in reserve during the early months of the year to provide for emergencies or unplanned non-recurring expenditures. On the other hand, he may want to make expenditures as they arise with only general restrictions on his staff. Regardless of what method of operation he uses, the chairman will find that he alone is responsible. The new department head will have to establish from the past records which type of expenditures require the largest share of his budget. His major interest in the budget can then be concentrated on these expenditures. An example is the expenditure for hourly or part-time wages which can quickly exhaust available funds. Some departments have found that management of the budget on a short interval increment basis--by quarters, months, growing seasons, etc., to be effective. The operating cycle of a department can be established from the historical record of spending and conferences with senior staff members.

Capital Equipment Budget

At this University, equipment items costing $100 or more are considered capital equipment. Capital equipment budgets are provided to the deans of the various colleges and the department head may receive a portion of this as an allotment for capital equipment. The need for capital equipment varies widely from department to department. Some require little more than office supplies whereas others may need, as instructional tools, instruments costing thousands of dollars.

The obsolescence rate on teaching and research equipment is phenomenal. It is a product of our rapidly changing technology. As a result, the University has an enormous backlog of need for equipment. Each department head will want to be constantly aware of the support for the purchase of capital equipment which might be available under Federal legislation relating to instruction and research.

The University expects that high-cost equipment will not be unnecessarily duplicated in other departments and that every effort will be made to achieve maximum usage of all equipment. Department heads are encouraged to develop cooperative arrangement with other departments in sharing expensive and unusual equipment.

Purchasing

The efficient use of the available expense and capital equipment monies can be achieved only through a centralized purchasing system. University policy provides that no commitments for materials or service be made without an authorized purchase order, negotiated contract or delegated authority.

The University Purchasing Office is in a position to relieve the faculty and the staff of numerous details relating to procurement. Department heads should avoid situations where a professor (with a salary in the $5-$10 per hour range) spends a half-day pricing a $3 spool of wire at the local outlets. This service is provided by the Purchasing Office.

The Purchasing Office is a service organization. It accomplishes its purpose by:

1. Adhering to State, Federal and University procurement regulations.
2. Keeping abreast of the activities and needs of the campus departments and agencies.
3. Assisting the departments and agencies in purchasing items that will best meet the needs of the users.
4. Locating the best prices available for suitable items.
5. Maintaining close contact with market conditions affecting the types of products used by the University.
6. Reviewing overall costs of various categories of merchandise and services in an effort to reduce expenditures by consolidation of purchases, substitution of products, standardization, and deletion of unnecessary purchases.
7. Maintaining a reference file of catalogs and literature, and studying new products and methods of operation to provide

information on improvement of facilities to the departments.

8. Insuring adequate sources of supply by keeping good business relationships with reliable vendors and departments.
9. Issuing bids whenever applicable so as to maintain a plane of operation that will meet with the approval of all vendors and departments.
10. Continually seeking new sources of supply.
11. Accelerating the order of goods, the delivery of these same products, and prompt payment to the vendor.

Chapter VII

Research Administration

Although a new department chairman will have long recognized that research and the dissemination of results thereof, are major functions of a university faculty, he may not be aware of the growing burden of the administration of these functions. The growth in sponsored research in the last decade has created many problems, and thereby, focused attention upon the need for University-wide policies and an organizational structure to administer research activities.

It has long been the philosophy at Colorado State University, as it is at the vast majority of universities, that research and teaching are interrelated. This means, therefore, that only those research projects which are compatible with existing academic departments and programs and suitable for the support of a graduate program are encouraged to be undertaken by the faculty. The institution does not ordinarily undertake projects of a purely commerical nature nor does it normally conduct government projects in the name of service which are not compatible with one or more of the academic programs.

For those not familiar with the development of the research effort on this campus and the most recent changes in the administrative structure, the following information may be of value.

History and Development

In 1887, research was initiated with funds provided by the Morrill Act and subsequently by the Hatch Act. This Congressional legislation resulted in the establishment of the Experiment Station at the State's land-grant institution. For over 50 years the Experiment Station provided the chief source of funds for the conduct of research at the University. During this time the Experiment Station expanded the scope of its research activity to include programs in every college. Concurrent with research supported by Federal and State funds through the Experiment Station, the faculty in other areas conducted considerable unfunded research. The University's reputation as an institution of higher education was established in part by the scholarly research writings of its early faculty members.

During the first 75 years of the University's existence two primary areas of research activity developed on the campus. Engineering research centered on the faculties activities in the field of hydraulics and hydrology. By 1945 the University had developed one of three modern wave basins available for government research in this country. The biological sciences, dominated by the research work undertaken through the Experiment Station, was the other major area of competence. The University emerged as an institution of national recognition in a few areas such Botany and Veterinary Medicine.

In 1941, the Colorado State University Research Foundation was organized to assist in the administration of sponsored research contracts and grants. The purpose of the Research Foundation, a separate non-profit corporation, was to serve the faculty and to assist it in fiscal

management of research and service contracts and grants. The purpose of these activities was to relieve the faculty member from many of the mundane management problems as is possible so he might be free to devote his full efforts to the research project. Initially the Foundation was administered as an additional assigned responsibility by faculty members who served as trustees and officers. By 1958 with a volume of $380,000 in contract and grant expenditures it was necessary for the Researech Foundation to be formally organized with a full time director and administrative staff.

For nearly a decade this organization assisted faculty members in developing research proposals and then administering them in accord with the sponsoring agencies directives. During these years this group made a significant contribution by creating an awareness among the faculty of the University of the availability of funds for research and sponsored instructional programs.

As is true of any dynamic organization, CSURF has undergone a gradual evolutionary change reflecting certain changes in University policy. First, the Governing Board in 1962 passed a resolution requiring that all contracts and grants be made in the name of the University. Since that time, the Foundation has not had funds of its own but has served only to administer funds given to the University. Secondly, in 1966 the whole system for research administration was reorganized under a Vice President for Research. These developments have led to CSURF being asked to adopt a different role in supporting the University. At the present time it appears that CSURF will become a separate, non-profit corporation concerned mainly with the administration of patents, issuance of bonds, acquisition of real property, etc. Most of the administrative functions of the Foundation will be transferred to the organization headed by the Vice President for Research, with the fiscal and accounting functions going to the Vice President for Finance.

Organization

As has been pointed out, the size of the research activity and its importance to the campus economy necessitated an administrative reorganization to provide coordination among research supporting agencies and enable the research effort to serve the University in a more effective manner. The position of Vice President for Research was created with responsibility for the Experiment Station, the Research Foundation, the Office of Water Resources Research, and other research activities.

In order to provide assistance and advice to the Vice President for Research, the Council of Deans for Research was created. The membership consisted of a representative from the office of each academic dean, Dean of the Graduate School, and the Associate Director of the Experiment Station. The function of the Council is to assist in the formation of policies and to assist in developing efficient procedures for administering research programs. The Council meets twice each month. In addition to the Council of Deans for Research, a staff committee composed of the following positions was created: Vice President for Research, Associate Director of the Experiment Station, Administrative Assistant for the Experiment Station, Director of CSURF, Director of

Office of Contracts and Grants for CSURF, Director of the Office of Water Resources Research and Director of Forestry Research, using McIntyre-Stennis funds. The administrative committee also meets at two-week intervals for the purpose of coordinating research activities and of informing all members of new and pending developments in research.

The administrative responsibility for research activities has been placed in academic departments and colleges. The department head or chairman is responsible for all research as well as teaching within the department and the academic dean is responsible for all research and teaching within the college. As a result of this concentration of authority, both research and teaching personnel can be deployed in the manner which provides the greatest efficiency and benefit to the University.

Chapter VIII

Conclusion

In the earlier sections of this handbook a great deal of material has been covered with the single objective of assisting a new department head or chairman to administer his department successfully. Although many comments and suggestions have been made, at least four more points should be emphasized. The first point to successful administration is the importance of planning. The second is the necessity for the new department head to have a realistic and pragmatic approach to democratic leadership. The third is the importance of communications, and fourth the necessity of attention to a considerable amount of administrative details.

Wise administrative decisions by a department head or chairman can be made only in the context of a clear understanding of the objectives of the University, the college and the department. Add to this the need for a precise plan for the accomplishment of these objectives at the departmental level. A department head easily may overlook these facts since he may not have an opportunity to sit back and carefully consider the new assignment before becoming involved. Immediate events may seem more pressing when he takes office and the future may seem very far away. Yet no chairman can afford to let a department drift in whatever direction it is taken by events and to defer setting a direction until the situation becomes desperate.

Considerable planning for the future of the department should be initiated by the chairman early in his administration. This must involve the faculty and the college dean. In addition to developing a plan, the organizational structure needed to implement the details of the plan must be established. The objectives, the plan and the organization should be understood and endorsed by the faculty.

Throughout the handbook references have been made to the adviseability, if not the obvious necessity of utilizing democratic prinicples of leadership in the administration of a department. Without seeming to retreat from the basic principle that a large measure of faculty involvement is essential to success, it might be wise to inject a word or two of caution in this regard. Generally, authorities are agreed that responsibility and authority go together. It is doubtful that they ever can, or should be exercised separately. Faculty members have no right in the name of democratic operation to ask the chairman to share his authority with them, unless they can assume the responsibility for the decisions they make. Little good can come from a system in which the staff shares equally in the decisions, but the chairman, alone, takes the praise or blame for the results.

This leads to the assumption that the faculty should not be unduly alarmed if the chairman, in certain situations, accepts the responsibility for a decision and assumes the authority to act. This does not mean that the faculty should not participate in the decision-making process. In fact,

the chairman should welcome the opinions of the faculty concerning both the range of possible decisions and the probable consequences resulting from them. On the other hand he should avoid encouraging a situation in which he retains responsibility but the faculty holds the authority to act. The best plans and intentions are wasted in such an impasse.

Another aspect of the application of democratic principles to academic administration is that of the psychological effect upon the various parties concerned. To attain democratic interaction and effective participation, faculty members must feel secure in their relationship with each other and with the department head. This does not imply a narrow concept, such as job tenure, but a basic psychological sense of acceptance, approval, and belonging. It is the responsibility of the chairman to engender this security among the staff by his actions. An atmosphere of approval must be developed, so that staff members will feel that their actions are not constantly in doubt. To be believed in by others constitutes a basis for self-belief. In developing this atmosphere, a department head's behavior toward other staff members is of utmost importance. His actions usually reveal whether he expects the best or the worst from his colleagues and they react accordingly.

The importance of communications on a university campus can hardly be over-emphasized. By its very nature an institution of higher education suffers from a serious lack of communications at all levels of administration. As control is diffused throughout the University effective channels of communication become more and more necessary. Skill in eliciting information from his staff and conveying it to the dean can be one of a department head's most prized assets. Since his primary function is to carry out policies that are in the best interests of his faculty, it is important that he know what their interests are. It is also important that he understand what the larger interest of the University is in a given situation and interpret it to his staff. The department chairman, possibly more than any other academic administrator, must have an open line of communication through which information flows both ways.

A word to the new chairman about the seemingly endless amount of paper work and detail which he will encounter. It has been said that red tape is the bane of a department head's existence. Each quarter brings with it complaints, partly in jest, but often of a serious nature that too much of a chairman's time is spent on administrative reports and other impedimenta. Often chairmen express concern that they are merely administrative clerks to the degree that they have little time for their real responsibilities. Everyone seems agreed, however, that decisions made in academic administration should be based on facts rather than with a crystal ball. This means that one of the important duties of the department head must be to see that the facts about the department's operation are reported accurately and systematically. Sometimes the importance of paper work (red tape) is only realized when the records produce the necessary data to establish a case for a department request or project. In other instances, the importance of a reasonable amount of record keeping and reporting may be impressed upon the new chairman when he is called upon to make decisions within his own department. His rapport with his faculty is

certainly going to be greater when he operates from fact rather than subjective judgement.

While it is recognized that there is no virtue in collecting information that has little utility in decision-making, a complex organization must have an organized scheme or plan of operation. A certain amount of standardized forms, procedures, and reports are absolutely essential to insure an administration characterized by efficiency of operation and equity in the application of policy.

To lessen the burden a department head should solicit the help of the appropriate department clerical staff in developing a plan to handle the paper work as efficiently as possible. Possibly other faculty members can be enlisted to exercise responsibility for specific areas. One of the most important things to keep in mind is the necessity of keeping good retrievable records of previous reports and actions. Often a great deal of time can be saved by merely up-dating previous well organized materials. Certainly the new department chairman who inherits a competent secretarial staff and a well organized office, is most fortunate. For one less fortunate, unquestionably the organization of the department office and its staff must have high priority.

In conclusion, it would appear that any department head or chairman who made a real effort to understand and work with his faculty, would become an effective and democratic leader. He should remember, however, that progress is often slow and his own growth as a leader is a prerequisite to gaining the understanding and cooperation of his staff.

To close on a less serious note, it might be well to leave new department heads and chairmen with this thought:

> The absence of occasional controversy or strong differences of opinion within a department may be a manifestation, not of a well administered and progressive department, but rather an indication that it is dying--or at best living in the past, not preparing for the future.

Appendixes

of

University Forms

(Prepare in quadruplicate)
Attach to Personnel Action form

COLORADO STATE UNIVERSITY
Fort Collins, Colorado

ACADEMIC FACULTY APPOINTMENT

TO THE PRESIDENT:

I request that you recommend to the State Board of Agriculture an appointment to the Academic Faculty in the _____ _____ as follows: _____
(Department or Office)

Name of proposed faculty appointee: _____
State name in form in which it should appear on payrolls.

Position for which recommended: _____ _____
(Academic rank)

Is this a reappointment? ( ) Yes ( ) No
Is appointment a newly-created position? ( ) Yes ( ) No
Type of appointment: ( ) Regular ( ) Temporary ( ) Special
( ) 9 Months ( ) 12 Months ( ) Other

9 or 12 month full-time salary rate _____

Total actual amount of salary to be paid _____

Appointment effective from _____ to _____ inclusive.

Special conditions of employment _____

_____

Recommended by: _____
(Department Head or Chairman) (Date)

Acceptance of this appointment is subject to approval by the State Board of Agriculture.

The acceptance of the policies of the State Board of Agriculture and the University is a condition of employment.

Approved by _____
(Dean or Director)

_____
(Signature of Appointee)

_____
(Director of Personnel)

_____
(Academic Vice-President)

_____
(Director of Budgets)

_____
(Other appropriate administrative Officer)

_____
(State Board of Agriculture)

_____
(President)

FORWARD ALL COPIES TO PERSONNEL OFFICE AFTER NECESSARY DEPARTMENT SIGNATURES ARE OBTAINED.
Distribution will be made from the Personnel Office.

PERSONAL INFORMATION (Not required on reappointments, but to be supplemented annually as needed.) Date _____

Name _____
(First) (Middle) (Last)

Address _____ Telephone Number _____

Place of birth _____
(Town, City or County) (State or Foreign)

Date of birth _____
(Month) (Date of month) (Year)

U.S. Citizen? yes ( ) no ( ) (other) _____

Names of parents if living _____

Address of parents if living _____

Person to be notified in case of emergency _____
(Name)

_____
(Address) (Telephone Number)

Marital Status: Married ____ Single ____ Widow or Widower ____ Separated or divorced ____
Number of children ____

Military Service:
Date of enlistment _____ Date of discharge _____ Branch _____
Details of service having bearing upon professional qualifications

_____

_____

_____

Education and Experience

Undergraduate — Degree obtained and date _____
Institution _____ — Dates attended _____
Major field _____ — Minor field _____

Graduate — Degree obtained and date _____
Institution _____ — Dates attended _____
Major field _____ — Minor field _____

Graduate — Degree obtained and date _____
Institution _____ — Dates attended _____
Major field _____ — Minor field _____

Graduate — Degree obtained and date _____
Institution _____ — Dates attended _____
Major field _____ — Minor field _____

Special training not leading to degree but of value to institution:

_____

_____

_____

_____

Teaching or research experience at other institutions:

Date — Highest rank held

_____

_____

_____

_____

_____

Evidence of Scholarship

Membership in learned societies or professional organizations

Name of organization	Date of admission	Offices held	Meetings attended (Dates)	Papers presented (Dates)

Attach additional information if necessary

(Prepare in quadruplicate)
Attach to Personnel Action form

COLORADO STATE UNIVERSITY
Fort Collins, Colorado
ADMINISTRATIVE - PROFESSIONAL STAFF APPOINTMENT

TO THE PRESIDENT:

I request that you recommend to the State Board of Agriculture an appointment to the Administrative-Professional Staff in the _____ as follows:
(Department or Office)

Name of proposed faculty appointee: _____
State name in form in which it should appear on payrolls.

Position for which recommended: _____

Is this a reappointment? ( ) Yes ( ) No
Is appointment a newly-created position? ( ) Yes ( ) No
Type of appointment: ( ) Regular ( ) Temporary ( ) Special

9 or 12 month full-time salary rate _____

Total actual amount of salary to be paid _____

Appointment effective from _____ to _____ inclusive

Special conditions of employment _____

_____

Recommended by: _____ _____
(Department Head or Chairman) (Date)

Acceptance of this appointment is subject to approval by the State Board of Agriculture.

The acceptance of the policies of the State Board of Agriculture and the University is a condition of employment.

Approved by: _____
(Dean or Director)

_____
(Signature of Appointee)

_____
(Director of Personnel)

_____
(Academic Vice-President)

_____
(Director of Budgets)

_____
(Other appropriate administrative Officer)

_____
(State Board of Agriculture)

_____
(President)

FORWARD ALL COPIES TO PERSONNEL OFFICE AFTER NECESSARY DEPARTMENT SIGNATURES ARE OBTAINED.
Distribution will be made from the Personnel Office.

PERSONAL INFORMATION (Not required on reappointments, but to be supplemented annually as needed.) Date _____

Name _____
(First) (Middle) (Last)

Address _____ Telephone Number _____

Place of birth _____
(Town, City or County) (State or Foreign)

Date of birth _____
(Month) (Date of month) (Year)

U.S. Citizen? yes ( ) no ( ) (other) _____

Names of parents if living _____

Address of parents if living _____

Person to be notified in case of emergency _____
(Name)

_____
(Address) (Telephone Number)

Marital Status: Married ____ Single ____ Widow or Widower ____ Separated or divorced ____
Number of children ____

Military Service:
Date of enlistment _____ Date of discharge _____ Branch _____
Details of service having bearing upon professional qualifications

_____

_____

_____

Education and Experience

Undergraduate — Degree obtained and date _____
Institution _____ — Dates attended _____
Major field _____ — Minor field _____

Graduate — Degree obtained and date _____
Institution _____ — Dates attended _____
Major field _____ — Minor field _____

Graduate — Degree obtained and date _____
Institution _____ — Dates attended _____
Major field _____ — Minor field _____

Graduate — Degree obtained and date _____
Institution _____ — Dates attended _____
Major field _____ — Minor field _____

Special training not leading to degree but of value to institution:

_____

_____

_____

_____

Teaching or research experience at other institutions:
Date Highest rank held

_____

_____

_____

_____

_____

Evidence of Scholarship
Membership in learned societies or professional organizations

Name of organization	Date of admission	Offices held	Meetings attended (Dates)	Papers presented (Dates)

Attach additional information if necessary

COLORADO STATE UNIVERSITY
Fort Collins, Colorado
Personnel Action Sheet

WHITE - PERSONNEL

NAME OF PERSON: _____ DATE _____
(Last) (First) (M.I.)

Social Security Number _____

DEPARTMENT: _____ POSITION: _____

EFFECTIVE DATE(S) _____ ( ) START OF BUSINESS-APPOINTMENTS
(Not beyond end of fiscal year) ( ) CLOSE OF BUSINESS-RESIGNATIONS

APPOINTMENT ☐

( ) To fill vacancy. Give previous appointee and termination date. _____

( ) New position. Budgeted ( ) Yes: Page-item _____ ( ) No

( ) Academic Faculty	( ) Regular	( ) 12 month
( ) Prof. & Adm. Staff	( ) Temporary Full-time	( ) 9 month
( ) Civil Service	( ) Temporary Part-time	( ) One quarter
( ) Non Civil Service	P.T. Decimal _____	( ) Two quarters
( ) Overseas (O.I.P.)	( ) Special	( ) Other _____

SHOW SALARY AND DISTRIBUTION IN THE RIGHT HAND BOX BELOW.

PAYSTOP ☐ ( ) Resignation-Forwarding address _____

( ) LWOP from _____ to _____

EFFECTIVE DATE (ABOVE) INCLUDES ALL EARNED VACATION OF _____ DAYS

SEND PAYROLL COPY DIRECT TO PAYROLL–ONLY ONE SIGNATURE NEEDED–OTHER COPIES TO PERSONNEL

CHANGE OF STATUS ☐

	FROM	TO
( ) Position or title		
( ) Salary rate		
( ) Basis of Service		
( ) Transfer between departments		

( ) Salary Distribution (Show distribution in boxes below)

ALL CHANGES REQUIRE A JUSTIFICATION. SEE BELOW

12 or 9 Mo. BASE SALARY RATE			
SHOW TOTAL DOLLARS BY SOURCE THAT "WERE TO BE PAID" THIS FISCAL YEAR. (BUDGET BOOK)			
SOURCE	DEPT.	PROJECT	AMOUNT
TOTAL			

12 or 9 Mo. BASE SALARY RATE			
SHOW TOTAL DOLLARS "TO BE PAID" FROM EACH SOURCE THIS FISCAL YEAR.			
SOURCE	DEPT.	PROJECT	AMOUNT
TOTAL			

JUSTIFICATION:

_____ _____ _____
Department Head or Chairman Director, Experiment Station Director of Extension

_____ _____ _____
Dean or Director Director, CSURF

_____ _____ _____
Director of Personnel Director of Budgets

FORWARD ALL COPIES TO PERSONNEL OFFICE AFTER NECESSARY DEPARTMENT SIGNATURES ARE OBTAINED.

CONFIDENTIAL REPORT OF CONFERENCE(S) BETWEEN DEPARTMENT HEAD OR CHAIRMAN AND FACULTY MEMBER WHO HAS NOT ACQUIRED TENURE STATUS

Department: _____ College: _____

Name of Faculty Member: _____

Rank: _____

Date of First Faculty Appointment: _____

Date(s) of Conference(s): _____

Report:

Distribution:

(1) Academic Vice President or Director of Experiment Station
(2) Dean of College
(3) Department Head or Chairman
(4) Faculty Member

Signed: _____
Department Head or Chairman

_____
Date

Noted: _____
College Dean or Director of Experiment Station

_____
Date

Civil Service Form No. PR-1
(8-57)

PERFORMANCE RATING

Colorado State
Civil Service Commission

NAME _____
(Please Print)

Rating Date _____

Position _____

DEPARTMENT _____

RATING FACTORS	EXPLANATION OF RATING FACTORS. (At Least 5 Factors Must Be Rated)	UNSATISFACTORY	FAIR	GOOD	VERY GOOD	OUTSTANDING
1. WORK HABITS	Observance of working hours, attendance, care of equipment, compliance with instruction, safety.					
2. RELATIONSHIPS WITH PEOPLE	Ability to get along with others, meeting and dealing with public, courtesy, tact.					
3. DEPENDABILITY	Degree to which employee can be relied upon to carry out instructions and do job without close supervision.					
4. QUALITY OF WORK	Accuracy, neatness, effective completion of work and work assignments.					
5. QUANTITY OF WORK	Amount of acceptable work performed, completion of work on schedule, use of time and energy.					
6. WILLINGNESS AND INTEREST	Cooperation, enthusiasm for job duties, loyalty to agency objectives, willingness to assume responsibilities.					
7. ADAPTABILITY	Ability to learn, ability to perform under changes in work or working conditions, performance in emergencies.					
8. JOB INTELLIGENCE	The ability to understand the essential functions of this job, to grasp details, to make decisions, and to solve new problems.					
9. ADMINISTRATIVE OR SUPERVISORY ABILITY	Promptness of action, soundness of decisions, capacity to analyze, organize, and plan effectively; to delegate authority or responsibility, capacity to train employees, and to lay out work, ability to build morale, confidence and respect in employees.					

If employee was transferred during rating period, fill in the following:

From _____

To _____

Transfer Date _____

If employee received a promotion during rating period, fill in the following:

From position title _____

To position title _____

Promotion Date _____

I hereby certify that this report is my unbiased, objective opinion of the merits of the employee rated herein.

_____
Signature of Rater

_____
Title

I have reviewed the rating given by the rater. I agree with the rating.

_____
Signature of Reviewer

_____
Title

Approved: Wm J McGuyer

Signature of Dept. Head or Deputy

OVERALL RATING

- ☐ Outstanding
- ☐ Very Good
- ☐ Good
- ☐ Fair—Needs Improvement
- ☐ Unsatisfactory

I hereby certify that I have reviewed this rating in the presence of the rater and have received a copy. My signature does not necessarily mean that I approve of the rating or waive the right of appeal.

_____
Signature of Employee

_____
Date Signed

(SEE REVERSE SIDE FOR INSTRUCTIONS)

INSTRUCTIONS

1. The work performance of each employee will be rated on at least 5 factors listed.

2. To indicate the rating, a check mark ($\surd$) is placed in the appropriate rating column. The overall rating is marked by placing a check mark in the appropriate box. This rating should be a in accord with the factor ratings but no computation is necessary for arriving at the overall rating.

3. Comments shall be recorded by the Rater on factors that are rated UNSATISFACTORY or OUTSTANDING.

4. It shall be the responsibility of the Reviewer to insure uniformity, fairness and accuracy in the ratings by Raters.

5. In the event of transfer of an employee from his immediate supervisor, a merit rating shall be taken at that time by the supervisor who is familiar with the employee's work. A copy of this interim rating shall be forwarded to the Civil Service Commission.

6. Each Department and individual employee shall follow the established uniform procedure in appealing a Merit Rating.

7. Distribution—Original to Civil Service Commission, duplicate to employee, triplicate to Department Personnel Files.

COMMENTS

APPRAISAL REPORT TO THE CIVIL SERVICE COMMISSION
1525 Sherman Street, Denver, Colorado 80203

Instructions: Using data on the Supervisor's Overall Appraisal Report, complete this form. Make two copies. Attach one to Form 2b. Submit to the Civil Service Commission the month prior to the effective date of the salary change - retain the carbon in Agency file. For items (*) attach to Personnel Action Form 1 and submit to the Civil Service Commission.

Last Name First Name Initial

Agency or Department

Division/Section/Unit

(To be completed according to Article XIII, Rules and Regulations)

CERTIFICATION OF SUPERVISOR'S APPRAISAL OF OVERALL PERFORMANCE OF EMPLOYEE

I certify that ☐ THIS EMPLOYEE'S OVERALL PERFORMANCE IS ABOVE AVERAGE

☐ THIS EMPLOYEE'S OVERALL PERFORMANCE IS SATISFACTORY

☐ THIS EMPLOYEE'S OVERALL PERFORMANCE IS UNSATISFACTORY *

I certify that ☐ There HAS BEEN a substantial change in duties assigned during the last appraisal period.

☐ There HAS NOT BEEN a substantial change in duties ~~assigned during last appraisal period.~~

(To be completed only in case of transfers or separations other than death and statutory retirement - attach to Form 1)

This employee ☐ would be rehired on this job.

☐ would not be rehired. Explain.

Check reasons for separation:

☐ Transfer *

☐ Voluntary Resignation * (for personal reasons)

☐ Negotiated Resignation * (resignation in lieu of dismissal action)

☐ Dismissal *

Date of Transfer/Last Day Worked _____

DATE OF SUBMITTAL OF CERTIFICATION OF APPRAISAL REPORT _____

Wm. T. McGuyer
Authorizing Signature

Distribution of Copies: Attach original to Form 2b or Form 1, submit same to Commission. Retain carbon copy in Agency file.

CSC-AP-1
5/64 3000c

Form PC-8 - Job Description
Rev. 7-66

STATE OF COLORADO

CIVIL SERVICE COMMISSION

Department or Institution _____ Position Number _____

Name of Employee _____

Class Title _____

Read Carefully

Describe below, in sufficient detail including time spent, the work of the position, listing the different duties. **DO NOT COPY THE CLASS SPECIFICATION.** (If more space is needed, use additional sheets.)

% Time Spent	Work Performed

SUPERVISION EXERCISED BY THIS POSITION: (a) List names and titles; (b) If no employees are supervised, write "none."_____

_____

Name and title of your immediate supervisor_____

Special Requirements

If the position requires any typing, shorthand or equipment operation fill out the following:

	Is it Incidental or Important	% of Employee's Work Time
Typing:		
Shorthand:		
Equipment Used:		
Other:		

I certify that I have read the instructions, that the entries made above are my own, and to the best of my knowledge are accurate and complete.

Date_____ Employee Signature_____

TO BE FILLED IN BY THE IMMEDIATE SUPERVISOR AND/OR DIVISION HEAD

What education and experience is necessary to the proper performance of this job?

_____

_____

_____

TO BE FILLED IN BY THE DEPARTMENT HEAD

Please comment on above statements. Indicate any inaccuracies or statements with which you disagree, or include omissions you deem necessary for more clarity. Also, reason for request and suggested classification.

_____

_____

_____

_____

_____

_____

Date_____ Signed_____
Immediate Supervisor

Date_____ Signed W. T. Mc[illegible]
Department Head

COLORADO STATE UNIVERSITY

Recommendation For

ADVANCEMENT IN RANK

Date_____

1. Name

2. Age

3. Department

4. Present Academic Rank and/or Research Title

5. Proposed Academic Rank and/or Research Title

6. Degrees held, with institutions granting them, and dates received.

7. Years or months of advanced work, with institutions and dates.

8. Date and rank at first appointment at Colorado State University.

9. Years or quarters spent in temporary and/or part-time assignment at Colorado State University (specify dates).

10. Advancements in Rank (including dates).

11. Leaves of Absence.

12. Teaching experience, institutions and dates.

13. Related experience.

14. Research experience, institutions and dates.

15. Publications, complete reference to each. (Please list on separate page, if necessary.)

16. Membership in professional societies including participation in national and regional meetings.

17. Evidence of teaching ability. (Please attach summary of student or faculty evaluation.)

18. Other contributions:

    a. To the department (committee assignments, departmental responsibilities, etc.)

    b. To the University (committee assignments, student activities, etc.)

    c. To the community

19. Comments.

Recommended by _____
Head of Department

Approved by _____
Dean of the College

Approved by _____
Director, Experiment Station

COLORADO STATE UNIVERSITY

Recommendation For

TENURE

Date_____

1. Name

2. Age

3. Department

4. Academic Rank and/or Research Title

5. Degrees held, with institutions granting them, and dates received.

6. Years or months of advanced work, with institutions and dates.

7. Date and rank at first appointment at Colorado State University.

8. Years or quarters spent in temporary and/or part-time assignment at Colorado State University (specify dates).

9. Advancements in Rank (including dates).

10. Leaves of Absence.

11. Teaching experience, institutions and dates.

12. Related experience.

13. Research experience, institutions and dates.

14. Publications, complete reference to each. (Please list on separate page, if necessary.)

15. Membership in professional societies including participation in national and regional meetings.

16. Evidence of teaching ability. (Please attach summary of student or faculty evaluation.)

17. Other contributions:

    a. To the department (committee assignments, departmental responsibilities, etc.)

    b. To the University (committee assignments, student activities, etc.)

    c. To the community

18. Comments.

Recommended by _____
Head of Department

Approved by _____
Dean of the College

Approved by _____
Director, Experiment Station

Submit (4) Copies

COLORADO STATE UNIVERSITY
BUDGET CHANGE REQUEST

Budget Year _____

Date _____

Dept. No. _____

Dept. _____

For Budget Office Use Only

OK _____
Director of Budgets

Salary Budget Increase or (Decrease)	Budget Reallocation Increase or (Decrease)		Expense Budget Increase or (Decrease)
		Non Continuing ☐	
		Continuing ☐	
$_____	$_____	Source _____	Project _____ $ _____

Dept. Head _____ Academic Vice President _____

Dean of College _____ Vice Pres. for Administration _____

Director, Exp. Station _____

Justification:

Budget Office Form 3A

STAFFING PATTERN 1967-68

DEPT. 1-1611 NAME. ATMOSPHERIC SCIENCE

EMPL.#	EMPLOYEE NAME	S E X	BAS OF SER	POS. NO.	POSITION DESCRIPTION	R T P S	T Y P E	ANNIV DATE	G R A D E	S T E P	A C A D	A W A R D	P L S B	FROM	TO	1967-68 BASE SALARY
037520		M	09	0311	ASSOC PROFESSOR	R	F									.....

DESCRIPTION	FND	SOURCE	DEPT	PROJ	ACADEMIC/9 MOS/ 66-67	FIXED $ 67-68
RESIDENT INSTRUCTION	11	1129	1611	.	4.00	.....
C S U R F	35	4540	1611	.	5.00	.....
TOTAL					9.00	.....

EMPL.#	EMPLOYEE NAME	S E X	BAS OF SER	POS. NO.	POSITION DESCRIPTION	R T P S	T Y P E	ANNIV DATE	G R A D E	S T E P	A C A D	A W A R D	P L S B	FROM	TO	1967-68 BASE SALARY
162810		M	12	8628	PRIN RES TECH	R	CS		20	04	C	H				7536.00

DESCRIPTION	FND	SOURCE	DEPT	PROJ	FISCAL YEAR/12MOS/ 66-67	FIXED $ 67-68
RESIDENT INSTRUCTION	11	1129	1611	.	.	.....
C S U R F	35	4540	1611	.	12.00	.....
TOTAL					12.00	.....

EMPL.#	EMPLOYEE NAME	S E X	BAS OF SER	POS. NO.	POSITION DESCRIPTION	R T P S	T Y P E	ANNIV DATE	G R A D E	S T E P	A C A D	A W A R D	P L S B	FROM	TO	1967-68 BASE SALARY
163078		M	12	8626	SR RESEARCH TECH	R	CS		17	03	C	H				6204.00

DESCRIPTION	FND	SOURCE	DEPT	PROJ	FISCAL YEAR/12MOS/ 66-67	FIXED $ 67-68
RESIDENT INSTRUCTION	11	1129	1611	.	.	.....
C S U R F	35	4540	1611	.	12.00	.....
TOTAL					12.00	.....

EMPL.#	EMPLOYEE NAME	S E X	BAS OF SER	POS. NO.	POSITION DESCRIPTION	R T P S	T Y P E	ANNIV DATE	G R A D E	S T E P	A C A D	A W A R D	P L S B	FROM	TO	1967-68 BASE SALARY
182146		F	12	2120	INTERMEDIATE CLERK STENO	R	CS		10	02	C					4200.00

DESCRIPTION	FND	SOURCE	DEPT	PROJ	FISCAL YEAR/12MOS/ 66-67	FIXED $ 67-68
RESIDENT INSTRUCTION	11	1129	1611	.	.	.....
C S U R F	35	4540	1611	.	9.00	.....
C S U R F	35	8509	1611	.	3.00	.....
TOTAL					12.00	.....

EMPL.#	EMPLOYEE NAME	S E X	BAS OF SER	POS. NO.	POSITION DESCRIPTION	R T P S	T Y P E	ANNIV DATE	G R A D E	S T E P	A C A D	A W A R D	P L S B	FROM	TO	1967-68 BASE SALARY
223830		F	09	0341	ASSOC METEOROLOGIST	T	F									.....

DESCRIPTION	FND	SOURCE	DEPT	PROJ	ACADEMIC/9 MOS/ 66-67	FIXED $ 67-68
RESIDENT INSTRUCTION	11	1129	1611	.	.	.....
C S U R F	35	4540	1611	.	9.00	.....
TOTAL					9.00	.....